

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

020489-000140US

First Inventor

ST. GOAR, FREDERICK G.

Title

METHODS AND APPARATUS FOR CARDIAC  
VALVE REPAIR

Express Mail Label No.

EV 348063586US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning design patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification w/title page [Total Pages 71 ]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 84 ]
5. Oath or Declaration [Total Pages 4 ]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper number of pages  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent
17. ☒ Other: **Statement Under CFR §1.63(d)(2)**

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: 09/544,930

Prior application information:

Examiner O'CONNOR, Cary E.

Art Unit: 3732

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number

20350

OR ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Lynn M. Thompson

Registration No. (Attorney/Agent)

47,991

Signature



Date

August 5, 2003

17497 U.S. PTO  
10/635776

08/05/03

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 771


Complete if Known

Application Number	
Filing Date	August 5, 2003
First Named Inventor	ST. GOAR, FREDERICK G.
Examiner Name	
Art Unit	
Attorney Docket No.	020489-000140US

METHOD OF PAYMENT (check all that apply)				FEE CALCULATION (continued)																																																																																																																																																																																																				
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late filing fee or oath		1052	2052	50	25	Surcharge - late provisional filing fee or cover sheet		1053	1053	130	130	Non-English specification		1812	1812	2,520	2,520	For filing a request for reexamination		1804	1804	920*	920*	Requesting publication of SIR prior to Examiner action		1805	1805	1,840*	1,840*	Requesting publication of SIR after Examiner action		1251	2251	110	55	Extension for reply within first month		1252	2252	410	205	Extension for reply within second month		1253	2253	930	465	Extension for reply within third month		1254	2254	1,450	725	Extension for reply within fourth month		1255	2255	1,970	985	Extension for reply within fifth month		1401	2401	320	160	Notice of Appeal		1402	2402	320	160	Filing a brief in support of an appeal		1403	2403	280	140	Request for oral hearing		1451	1451	1,510	1,510	Petition to institute a public use proceeding		1452	2452	110	55	Petition to revive - unavoidable		1453	2453	1,300	650	Petition to revive - unintentional		1501	2501	1,300	650	Utility issue fee (or reissue)		1502	2502	470	235	Design issue fee		1503	2503	630	315	Plant issue fee		1460	1460	130	130	Petitions to the Commissioner		1807	1807	50	50	Petitions related to provisional applications		1806	1806	180	180	Submission of Information Disclosure Stmt		8021	8021	40	40	Recording each patent assignment per property (times number of properties)		1809	2809	750	375	Filing a submission after final rejection (37 CFR § 1.129(a))		1810	2810	750	375	For each additional invention to be examined (37 CFR § 1.129(b))		1801	2801	750	375	Request for Continued Examination (RCE)		1802	1802	900	900	Request for expedited examination of a design application		Other fee (specify) _____						*Reduced by Basic Filing Fee Paid						SUBTOTAL (3)					(\$)
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SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Lynn M. Thompson	Registration No. (Attorney/Agent)	47,991	Telephone	650-326-2400
Signature				Date	August 5, 2003

60010092 v1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ST. GOAR, Frederick G. et al.

Application No.:

Filed:

For: METHODS AND APPARATUS  
FOR CARDIAC VALVE REPAIR

Examiner: Unassigned

Technology Center/Art Unit: 3732

**STATEMENT UNDER CFR §1.63(d)(2)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This statement requests the deletion of Martin S. Dieck, Brian B. Martin, Sylvia Wen-Chin Fan, Eric A. Goldfarb, Kent D. Dell, and Ferolyn T. Powell as an inventors for this continuation application (Attorney Docket Number 020489-000140US) which is a continuation of U.S. Application No. 09/544,930 (Attorney Docket Number 020489-000110US).

Respectfully submitted,

  
Lynn M. Thompson  
Reg. No. 47,991

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